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37 C.F.R. 1.8

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6-12-02  
Date

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Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Gary E. Horst

Serial No.: 09/678,041

Filed: 10/3/00

For: REDUCED NOISE DYNAMOELECTRIC  
MACHINE

Group Art Unit: 2834

Examiner: Guillermo Perez

Atty. Dkt. No.: 10831.0027.000000

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JUN 18 2002  
TECHNOLOGY CENTER 2800

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, DC 20231

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be

construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

## **REFERENCES CITED**

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WO 93/05564	3/18/93	WIPO
WO 94/28618	12/8/94	WIPO
07-292669	11/10/95	Japan

## Other Information

English Abstract of Japanese patent application no. 06-086769 published as 07-298669 November 10, 1995

English Abstract of Japanese Patent JP3089897

English Abstract of German Patent DE 4036565

C. Pollock and C. Y. Wu, "Acoustic Noise Cancellation Techniques for Switched Reluctance Drives," *Record of the Industry Applications Conference (IAS)*, Vol 1, pp. 448-455, Orlando, Florida, October 8-12, 1995

C. Y. Wu and C. Pollock, "Analysis and Reduction of Vibration and Acoustic Noise in the Switched Reluctance Drive," 1993, Proceedings of the IAS '93, pp. 106-113

C. Y. Wu and C. Pollock, "Analysis and Reduction of Vibration and Acoustic Noise in the Switched Reluctance Drive," *IEEE Transactions on Industry Applications*, Vol. 31, No. 1 pp. 91-98, January/February 1995

Charles Pollock and Barry W. Williams, "A Unipolar Converter for a Switched Reluctance Motor," *Conference Record of the 1988 IEEE Industry Applications Society Annual Meeting*, pp. 44-49, Pittsburg, Pennsylvania, October 2-7, 1988

D. E. Cameron et al., "The Origin and Reduction of Acoustic Noise in Doubly Salient Variable-Reluctance Motors," November/December 1992, *IEEE Transactions on Industry Applications*, Vol. 28 No. 6, pp. 1250-1255

F. Blaabjerg et al., "Investigation and Reduction of Acoustical Noise from Switched Reluctance Drives in Current and Voltage Control," September 5-7 1994, Proc. ICEM '94, pp. 589-594

Frede Blaabjerg and John K. Pedersen, "Digital Implemented Random Modulation Strategies for AC and Switched Reluctance Drives," Proceedings of the IECON'93, pp. 676-682, International Conference Industrial Conference on Industrial Electronics, Control and Instrumentation, Maui, Hawaii, Nov. 15-19, 1993.

Mehdi Moallem et. al., "Effect of Rotor Profiles on the Torque of a Switched-Reluctance Motor," *IEEE Transactions on Industry Applications*, Vol. 28, No. 2, March/April 1992, ppgs. 364-369

Richard S. Wallace and David G. Taylor, "A Balanced Commutator for Switched Reluctance Motors to Reduce Torque Ripple," IEEE Transactions on Power Electronics, vol. 7, No. 4, pp. 617-626, Oct. 1992.

Richard S. Wallace and David G. Taylor, "Low-Torque-Ripple Switched Reluctance Motors for Direct-Drive Robotics," IEEE Transactions on Robotics and Automation, Vol. 7, No. 6, pp. 733-742, December 1991

Richard S. Wallace, Jr., "Design and Control of Switched Reluctance Motors to Reduce Torque Ripple," Georgia Institute of Technology, Nov. 1990.

S. Chan et al., "Performance Enhancement of Single-Phase Switched-Reluctance Motor by DC Link Voltage Boosting," September 1993, IEEE Proceedings-B, Vol. 140, pp. 316-322

Shi-Ping Hsu et al., "Modeling and Analysis of Switching DC-to-DC Converters in Constant-Frequency Current-Programmed Mode," 1979, IEEE Power Electronics Specialists Conference, pp. 284-301

Stephenson and Blake, "The Characteristics, Design and Applications of Switched Reluctance Motors and Drives," PCIM Conference & Exhibition, June 21-24, 1993, Nuremberg, Germany

Full translations in English of the Japanese Patent JP3089897, reference number B3; the German Patent DE 40 36 565 C1, reference number B6; and the Japanese Patent JP7298669, reference number B9, are not available to the Applicant at this time, and only a copy of the original documents are being filed with translations of the Abstracts. However, Applicant will gladly provide a full translation of these references should the Examiner deem it to be necessary.

In accordance with 37 C.F.R. §§ 1.98(a),(3), this Supplemental Information Disclosure Statement includes concise explanations of the relevance, as it is presently understood by the individual designated in 37 C.F.R. § 1.56(c) most knowledgeable about the content of the information, of each patent listed that is not in the English language.

The Japanese Patent JP3089897, reference number B3, is directed to a drive for a variable-reluctance motor. The purpose of the drive is to protect a switching element from surge voltage generated at the OFF time of the switching element at high speed or leakage currents. The protection is achieved by connecting capacitive load or the series circuit of the capacitive load and a resistor in parallel with an excitation winding.

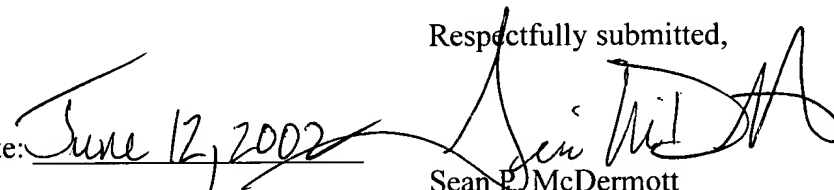
The German Patent DE 40 36 565 C1, reference number B6, is directed to an electronic drive system for a variable reluctance electric motor (1) with one or more phases. For reducing the motor operating noise, auxiliary electronic control of the winding current is performed to slow the rapid variations in the magnetic induction of the stator (2) caused by the switching of the stator windings (6, 7) in dependence of the rotor position. The rate of the current variation is controlled in dependence on the motor revolutions and the motor torque.

The Japanese Patent JP7298669, reference number B9, is the published patent of the application JP 06-086769, which is the foreign priority application for U.S. Patent No. 5,589,752 to Iwasaki et al.

All the remaining references, such as GB 2 167 253 A, GB 2 167 910 A, WO 9428618, WO 93/05564, and WO 94/28618, are all printed in the English language.

The Commissioner is hereby authorized to deduct the fee as set forth in 37 C.F.R. § 1.17(p) from Deposit Account No. 01-2508/10831.0027.000000. Should any additional fees be required for any reason, the Commissioner is authorized to deduct any necessary amount from Deposit Account No. 01-2508/10831.0027.000000.

Applicant respectfully requests that the listed documents be made of record in the present case.

Respectfully submitted,  
Date: June 12, 2002  
  
Sean P. McDermott  
Reg. No. 49,000

HOWREY SIMON ARNOLD & WHITE, LLP  
750 Bering Dr.  
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Form PTO-1449 (modified)

Atty. Docket No.  
10831.0027.000000Serial No.  
09/678,041

List of Patents and Publications for Applicant's

Applicant: Gary E. Horst

SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT

Title: Reduced Noise Dynamoelectric Machine

(Use several sheets if necessary)

Filing Date:  
October 3, 2000

Group:

U.S. Patent Documents  
See Page 1Foreign Patent Documents  
See Page 4Other Art  
See Page 4

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
10/2	A1	RE 34,609	05/17/94	Mueller	318	254	06/22/87
	A2	RE 36,568	02/15/2000	Horst	318	701	12-29-93
	A3	747,698	12/22/03	Geisenhoner	N/A	N/A	8/28/01
	A4	4,164,696	08/14/79	Kastilahn et al.	318	696	08/10/77
	A5	4,213,070	7/15/80	Lund et al.	310	71	8/10/78
	A6	4,249,116	2/3/81	Hieda	318	254	3/23/79
	A7	4,253,053	2/24/81	Ray et al.	318	701	3/28/78
	A8	4,427,910	1/24/84	Richter et al.	310	214	3/1/82
	A9	4,447,771	5/8/84	Whited	318	661	8/31/81
	A10	4,488,101	12/11/84	Studtmann	318	800	12/23/82
	A11	4,500,824	02/19/85	Miller	318	701	05/21/84
	A12	4,520,302	5/28/85	Hill et al.	318	696	3/12/84
	A13	4,563,619	1/7/86	Davis et al.	318	138	4/6/83
	A14	4,661,756	4/28/87	Murphy et al.	318	701	10/18/85
	A15	4,670,696	6/2/87	Byrne et al.	318	701	10/18/85
	A16	4,672,253	06-09-87	Tajimal et al.	310	269	07-25-85
	A17	4,691,038	10/2/90	MacMinn	318	696	10/16/89
	A18	4,712,050	12/8/87	Nagasawa et al.	318	254	1/30/87
	A19	4,731,570	3/15/88	Lee	318	696	9/8/86
	A20	4,761,580	8/2/88	Hein et al.	310	214	6/17/87
	A21	4,849,873	7/18/89	Vanderhelst	363	55	11/05/87

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EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

Form PTO-1449 (modified)

Atty. Docket No.  
10831.0027.000000Serial No.  
09/678,041

List of Patents and Publications for Applicant's

Applicant: Gary E. Horst

SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT

Title: Reduced Noise Dynamoelectric Machine

(Use several sheets if necessary)

Filing Date:  
October 3, 2000Group:  
2834U.S. Patent Documents  
See Page 1Foreign Patent Documents  
See Page 4Other Art  
See Page 4

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
MS	A22	4,859,921	8/22/89	Archer	318	599	3/10/88
	A23	4,868,477	9/19/89	Anderson et al.	318	696	6/23/87
	A24	4,933,584	07-12-90	Harms et al.	310	162	12-22-88
	A25	4,933,621	6/12/90	MacMinn et al.	318	696	5/12/89
	A26	4,943,760	7/24/90	Byrne et al.	318	701	11/2/88
	A27	4,961,038	10/02/90	MacMinn	318	696	10/16/89
	A28	5,072,166	12/10/91	Ehsani	318	696	6/18/90
	A29	5,075,610	12/24/91	Harris	318	701	3/28/91
	A30	5,119,000	6/2/92	Schultz et al.	318	254	2/25/91
	A31	5,122,697	06-16-92	Horst	310	181	04-30-90
	A32	5,124,607	6/23/92	Rieber et al.	310	214	5/19/89
	A33	5,140,207	8/18/92	Baumeister	310	83	12/13/89
	A34	5,144,209	9/1/92	Ingji, et al.	318	254	6/28/91
	A35	5,175,458	12/29/92	Lemmer et al.	310	71	9/4/91
	A36	5,196,775	3/23/93	Harris et al.	318	638	2/20/91
	A37	5,239,217	08-24-93	Horst	310	51	05-18-92
	A38	5,239,220	8/24/93	Taji et al.	310	214	8/22/92
	A39	5,250,867	10-05-93	Gizaw	310	179	11-20-91
	A40	5,270,603	12/14/93	Narumi	310	260	4/22/92
	A41	5,294,856	03-15-94	Horst	310	181	08-27-91
MS	A42	5,296,785	3/22/94	Miller	318	254	8/22/93

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INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

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Form PTO-1449 (modified)		Atty. Docket No. 10831.0027.000000	Serial No. 09/678,041
List of Patents and Publications for Applicant's  SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)		Applicant: Gary E. Horst	
		Title: Reduced Noise Dynamoelectric Machine	
		Filing Date: October 3, 2000	Group: 2834
U.S. Patent Documents See Page 1	Foreign Patent Documents See Page 4	Other Art See Page 4	

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	A44	5,343,105	8/30/94	Sakabe et al.	310	179	1/29/93
	A45	5,373,206	12/13/94	Lim	310	68	2/17/93
	A46	5,386,162	01-31-95	Horst	310	51	04-06-93
	A47	5,446,359	08-29-95	Horst	318	701	12-29-93
	A48	5,461,295	10-24-95	Horst	318	701	01-28-94
	A49	5,479,080	12/26/95	Jones et al.	318	701	7/23/93
	A50	5,487,213	1/30/96	Hult et al.	29	556	5/2/94
	A51	5,563,488	10/8/96	Stephenson et al.	318	701	6/7/95
	A52	5,589,752	12/31/96	Iwasaki et al.	318	701	04/25/95
	A53	5,604,388	02-18-97	Baker et. al.	310	51	02-16-94
	A54	5,701,064	12-23-97	Horst et. al.	318	701	10-27-95
	A55	5,770,910	06-23-98	Horst	310	214	12-30-93
	A56	5,852,334	12-22-98	Pengov	310	168	10-19-95
	A57	5,986,418	11-16-99	Horst, et. al	318	254	11-24-97
	A58	6,028,385	02-22-2000	Pengov	310	166	10-26-98
	A59	6,051,903	04-18-2000	Pengov	310	168	11-13-98
MS	A60	6,072,260	06-06-2000	Randall	310	216	01-19-99

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Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
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	B2	0 749 202 A1	12/18/96	Europe	H02P	7/05	N/A
	B3	03-089897 A	4/15/91	Japan	H02P	8/00	Abstract
	B4	2 167 253 A	5/21/86	United Kingdom	H02P	6/00	N/A
	B5	2 167 910 A	6/4/86	United Kingdom	H02K	1/06	N/A
	B6	4 036 565 C1	5/21/92	Germany	H02P 8	8/00	Abstract
	B7	WO 93/05564	3/18/93	WIPO	H02P	6/02	N/A
	B8	WO 94/28618	12/8/94	WIPO	H02P	6/02	N/A
MS	B9	07-298669	11/10/95	Japan	H02	5/05	Abstract

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
MS	C1	English Abstract of Japanese patent application no. 06-086769 published as 07-298669 November 10, 1995
	C2	English Abstract of Japanese Patent JP3089897
	C3	English Abstract of German Patent DE 4036565
	C4	C. Pollock and C. Y. Wu, "Acoustic Noise Cancellation Techniques for Switched Reluctance Drives," <i>Record of the Industry Applications Conference (IAS)</i> , Vol 1, pp. 448-455, Orlando, Florida, October 8-12, 1995
MS	C5	C. Y. Wu and C. Pollock, "Analysis and Reduction of Vibration and Acoustic Noise in the Switched Reluctance Drive," 1993, Proceedings of the IAS '93, pp. 106-113

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Exam. Init.	Ref. Des.	Citation
MR	C6	C. Y. Wu and C. Pollock, "Analysis and Reduction of Vibration and Acoustic Noise in the Switched Reluctance Drive," <i>IEEE Transactions on Industry Applications</i> , Vol. 31, No. 1 pp. 91-98, January/February 1995
	C7	Charles Pollock and Barry W. Williams, "A Unipolar Converter for a Switched Reluctance Motor," <i>Conference Record of the 1988 IEEE Industry Applications Society Annual Meeting</i> , pp. 44-49, Pittsburg, Pennsylvania, October 2-7, 1988
	C8	D. E. Cameron et al., "The Origin and Reduction of Acoustic Noise in Doubly Salient Variable-Reluctance Motors," November/December 1992, <i>IEEE Transactions on Industry Applications</i> , Vol. 28 No. 6, pp. 1250-1255
	C9	F. Blaabjerg et al., "Investigation and Reduction of Acoustical Noise from Switched Reluctance Drives in Current and Voltage Control," September 5-7 1994, <i>Proc. ICEM '94</i> , pp. 589-594
	C10	Frede Blaabjerg and John K. Pedersen, "Digital Implemented Random Modulation Strategies for AC and Switched Reluctance Drives," <i>Proceedings of the IECON'93</i> , pp. 676-682, International Conference Industrial Conference on Industrial Electronics, Control and Instrumentation, Maui, Hawaii, Nov. 15-19, 1993.
	C11	Mehdi Moallem et. al., "Effect of Rotor Profiles on the Torque of a Switched-Reluctance Motor", <i>IEEE Transactions on Industry Applications</i> , Vol. 28, No. 2, March/April 1992, ppgs. 364-369
	C12	Richard S. Wallace and David G. Taylor, "A Balanced Commutator for Switched Reluctance Motors to Reduce Torque Ripple," <i>IEEE Transactions on Power Electronics</i> , vol. 7, No. 4, pp. 617-626, Oct. 1992.
	C13	Richard S. Wallace and David G. Taylor, "Low-Torque-Ripple Switched Reluctance Motors for Direct-Drive Robotics," <i>IEEE Transactions on Robotics and Automation</i> , Vol. 7, No. 4, pp. 733-742, December 1991
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### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C15	S. Chan et al., "Performance Enhancement of Single-Phase Switched-Reluctance Motor by DC Link Voltage Boosting," September 1993, IEEE Proceedings-B, Vol. 140, pp. 316-322
	C16	Shi-Ping Hsu et al., "Modeling and Analysis of Switching DC-to-DC Converters in Constant-Frequency Current-Programmed Mode," 1979, IEEE Power Electronics Specialists Conference, pp. 284-301
	C17	Stephenson and Blake, "The Characteristics, Design and Applications of Switched Reluctance Motors and Drives," PCIM Conference & Exhibition, June 21-24, 1993, Nuremberg, Germany

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EXAMINER:

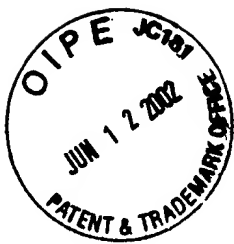
DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

**APPENDIX E**

**Returned Postcard of IDS Submitted January 29, 2001**



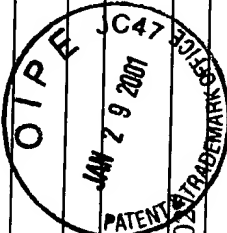
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<input type="checkbox"/> Foreign priority already claimed	
<input type="checkbox"/> Continuation <input type="checkbox"/> CIP	<input type="checkbox"/> Divisional CPA <input type="checkbox"/>
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<input type="checkbox"/> Response to Office Action Dated:	<input type="checkbox"/> Final Rejection
<input checked="" type="checkbox"/> Other: PTO Transmittal Letter; Information Disclosure Statement; Form PTO-1449; References; Postcard	
<input type="checkbox"/> Assignment Enclosed <input checked="" type="checkbox"/> Cert. of Timely Mailing <input type="checkbox"/> Exp. Mail:	

**IDENTIFICATION OF APPLICATION**

Serial No.: 09/678,041	
Title: REDUCED NOISE DYNAMOELECTRIC MACHINE	
Applicant: Gary E. Horst	Attorney: McAughan/EMCS:023168
Client: Emerson Electric Specialty	Firm File No.: 10831.0027.000000
Mailed: 01/25/2001	Filed: Due Date:



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**APPENDIX D**

**SUBSTITUTE FIGURES 1-26 ON 56 DRAWING SHEETS**